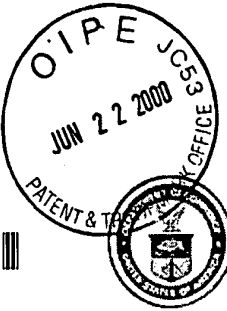


**FORMALITIES LETTER**

\*OC00000005014797\*

**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**Address: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/495,982	02/01/2000	Christopher L. Jones	002821.P001x

Michael A DeSanctis  
Blakely Sokoloff Taylor & Zafman LLP  
7th Floor  
12400 Wilshire Boulevard  
Los Angeles, CA 90025

Date Mailed: 03/29/2000

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION****FILED UNDER 37 CFR 1.53(b)*****Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 820.**

---

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/23/2000 00000000 00495982

01 FC:101 690.00 OP  
02 FC:105 130.00 OP

Our Docket No: 002821.P001X



PATENT

*sector*  
*\$*  
*#3*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	)	
	)	
Jones et al.	)	Examiner: Not yet assigned
	)	
Application No.: 09/495,982	)	Art Unit: 2768
	)	
Filed: February 1, 2000	)	
	)	
For: Financial Advisory System	)	
	)	

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
(FILING DATE GRANTED)

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing parts of Application (Filing Date Granted) mailed  
March 29, 2000, please find enclosed:

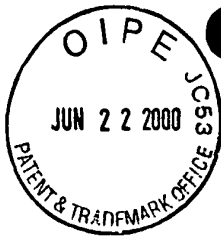
- (1) a duly executed Declaration and Power of Attorney with respect to the  
above-referenced patent application;
- (2) a check in the amount of \$820.00 in payment of the surcharge of 37 C.F.R. § 1.16(e)  
and Application Filing Fees;
- (3) a copy of the Notice to File Missing Parts of Application;
- (4) a check in the amount of \$110.00 in payment of 1 month extension.

06/23/2000 MMARMOL 00000089 09495982

03 FC:115

110.00 0P

Docket No.: 004059.P001X  
Application No.: 09/495,982




If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 6/14/2000

  
\_\_\_\_\_  
Michael Anthony DeSanctis  
Reg. No. 39,957

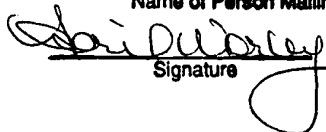
12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025-1026  
(303) 740-1980

FIRST CLASS CERTIFICATE OF MAILING  
(37 C.F.R. § 1.8 (a) )

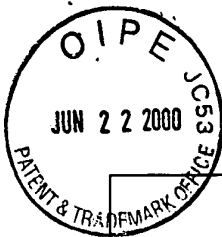
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

On June 16, 2000  
Date of Deposit

April Whaley  
Name of Person Mailing Correspondence

  
Signature

6/16/00  
Date



#3

### FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT (\$) \$930.00

Complete if Known:

Application No. 09/495,982

Filing Date February 1, 2000

First Named Inventor Christopher L. Jones et al.

Group Art Unit 2768

Examiner Name Not Yet Assigned

Attorney Docket No. 002821.P001X

#### METHOD OF PAYMENT (check one)

1. ☒ [ X ] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name \_\_\_\_\_

- ☒ [ X ] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ [ ] Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.131(b)

2. ☒ X Payment Enclosed  
☒ X Check  
☐ — Money Order  
☐ — Other

#### FEE CALCULATION (fees effective 11/10/98)

##### 1. FILING FEE

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>		
<u>Code</u>	<u>(\$)</u>	<u>Code</u>	<u>(\$)</u>		
101	760	201	380	Utility application filing fee	<u>690.00</u>
106	310	206	155	Design application filing fee	<u>0.00</u>
107	480	207	240	Plant filing fee	<u>0.00</u>
108	760	208	380	Reissue filing fee	<u>0.00</u>
114	150	214	75	Provisional application filing fee	<u>0.00</u>
SUBTOTAL (1)					\$ <u>690.00</u>

##### 2. CLAIMS

		<u>Extra</u>		<u>Fee from below</u>		<u>Fee Paid</u>
Total Claims	_____	- 20 =	<u>0</u>	X	<u>0.00</u>	= <u>0.00</u>
Independent Claims	_____	- 3 =	<u>0</u>	X	<u>0.00</u>	= <u>0.00</u>
Multiple Dependent Claims	_____		<u>0</u>	X	<u>0.00</u>	= <u>0.00</u>

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>		
<u>Code</u>	<u>(\$)</u>	<u>Code</u>	<u>(\$)</u>		
103	18	203	9	Claims in excess of twenty	<u>0.00</u>
102	78	202	39	Independent claims in excess of 3	<u>0.00</u>
104	260	204	130	Multiple dependent claim	<u>0.00</u>
109	78	209	39	Reissue independent claims over original patent	<u>0.00</u>
110	18	210	9	Reissue claims in excess of 20 and over original patent	<u>0.00</u>
SUBTOTAL (2)					\$ <u>0.00</u>

**FEE CALCULATION (continued)**

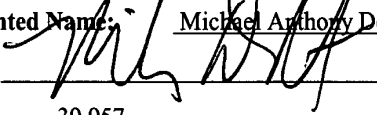
**3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	0.00
139	130	139	130	Non-English specification	0.00
147	2,520	147	2,520	For filing a request for reexamination	0.00
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	0.00
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	0.00
115	110	215	55	Extension for response within first month	110.00
116	380	216	190	Extension for response within second month	0.00
117	870	217	435	Extension for response within third month	0.00
118	1,360	218	680	Extension for response within fourth month	0.00
128	1,850	228	925	Extension for response within fifth month	0.00
119	300	219	150	Notice of Appeal	0.00
120	300	220	150	Filing a brief in support of an appeal	0.00
121	260	221	130	Request for oral hearing	0.00
138	1,510	138	1,510	Petition to institute a public use proceeding	0.00
140	110	240	55	Petition to revive unavoidably abandoned application	0.00
141	1,210	241	605	Petition to revive unintentionally abandoned application	0.00
142	1,210	242	605	Utility issue fee (or reissue)	0.00
143	430	243	215	Design issue fee	0.00
144	580	244	290	Plant issue fee	0.00
122	130	122	130	Petitions to the Commissioner	0.00
123	50	123	50	Petitions related to provisional applications	0.00
126	240	126	240	Submission of Information Disclosure Stmt	0.00
581	40	581	40	Recording each patent assignment per property (times number of properties)	0.00
146	760	246	380	For filing a submission after final rejection (see 37 CFR 1.129(a))	0.00
149	760	249	380	For each additional invention to be examined (see 37 CFR 1.129(a))	0.00
Other fee (specify)					
Other fee (specify)					
<b>SUBTOTAL (3)</b>					<b>\$ 240.00</b>

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: Michael Anthony DeSanctis

Signature:  Date: 6/16/2000

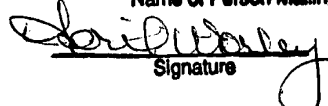
Reg. Number: 39,957 Deposit Account User ID: \_\_\_\_\_ (complete if applicable)

**FIRST CLASS CERTIFICATE OF MAILING  
(37 C.F.R. § 1.8 (a))**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

On June 16, 2000  
Date of Deposit

April Worley  
Name of Person Mailing Correspondence

 6/16/00  
Signature Date